

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	09802163
Filing Date	2001-03-08
First Named Inventor	Christopher Keith
Art Unit	3692
Examiner Name	Clement B. Graham
Attorney Docket Number	IVEN125525

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Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	3702007	A	1972-10-31	Davis II	
	2	4346442	A	1982-08-24	Musmanno	
	3	4376978	A	1983-03-15	Musmanno	
	4	4456957	A	1984-06-26	Schleitz	
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	7	5148365	A	1992-09-15	Dembo	
	8	5253165	A	1993-10-12	Leiseca	

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9	5297031	A	1994-03-22	Gulterman	
10	5297032	A	1994-03-22	Trojan	
11	5453601	A	1995-09-26	Rosen	
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13	5689652	A	1997-11-18	Lupien	
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20	6029146	A	2000-02-22	Hawkins	
21	6035289	A	2000-03-07	Chou	
22	6068117	A	2000-05-30	Koehn	
23	6101484	A	2000-08-08	Halbert	
24	6131087	A	2000-10-10	Luke	
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26	6236980	B1	2001-05-22	Reese	
27	6278982	B1	2001-08-21	Korhammer	
28	6285989	B1	2001-09-04	Shoham	
29	6317727	B1	2001-11-13	May	
30	6317728	B1	2001-11-13	Kane	

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	31	6321212	B1	2001-11-20	Lange	
	32	6343278	B1	2002-01-29	Jain	
	33	6359633	B1	2002-03-19	Balasubramaniam	
	34	6408282	B1	2002-06-18	Buist	
	35	6418419	B1	2002-07-09	Nieboer	
	36	6421653	B1	2002-07-16	May	
	37	6493682	B1	2002-12-10	Horigan	
	38	6505174	B1	2003-01-07	Keiser	
	39	6553346	B1	2003-04-22	Walker	
	40	6601044	B1	2003-07-29	Wallman	
	41	6625583	B1	2003-09-23	Silverman	

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44	7058601		2006-06-06	Paiz	

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**U.S.PATENT APPLICATION PUBLICATIONS**

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030014379	A1	2003-01-16	Saias	

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**FOREIGN PATENT DOCUMENTS**

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> <sup>4</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

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**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.	<input type="checkbox"/>

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2	HULL, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
3	LIVINGSTON, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>
4	"More Companies Buying Back Stock," The Salt Lake Tribune, April 9, 2000, < <a href="http://proquest.umi.com/pqdweb?index=6&amp;did=52501230&amp;SrchMode=1&amp;sid=21&amp;Fmt=3...">http://proquest.umi.com/pqdweb?index=6&amp;did=52501230&amp;SrchMode=1&amp;sid=21&amp;Fmt=3...</a> > [retrieved November 3, 2005].	<input type="checkbox"/>
5	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3d ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>

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**EXAMINER SIGNATURE**

Examiner Signature	/Clement Graham/	Date Considered	12/07/2008
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Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

See attached certification statement.  
 Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.  
 None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.16. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2007-03-09
Name/Print	Kevan L. Morgan	Registration Number	42015

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
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9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

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